

**UTILITY
PATENT APPLICATION
TRANSMITTAL**

Our Docket No.: 6971.02

Date: 28 July 2003

First Named Inventor: Leonard S. Schultz

Title: **DEVICE AND METHOD FOR BODY LUMEN OCCLUSION**

Express Mail No.: EV 324256644 US

Mail Stop PATENT APPLICATION
Commissioner for Patents
P. O. Box 1450
Alexandria, VA 22313-1450

19249 U.S. PTO
10/628843
07/28/03

APPLICATION ELEMENTS

1. ☒ Fee Transmittal Sheet
(Submit an original and a duplicate for fee processing)
2. ☒ Applicant claims small entity status
3. ☒ Specification with Cover Sheet Total Pages **21**
 - Descriptive title of the invention
 - Cross References to Related Applications
 - Background of the Invention
 - Brief Summary of the Invention
 - Brief Description of the Drawings (if filed)
 - Detailed Description
 - Claims
 - Abstract of the Disclosure
4. ☒ Drawings (35 U.S.C. 113) Total Sheets **5**
5. ☐ Oath or Declaration Total Pages
 - a. ☐ Newly Executed (original or copy)
 - b. ☐ Copy from a prior application (37 C.F.R. 1.63(d))
(for continuation/divisional with Box 18 completed)
 - I. ☐ DELETION OF INVENTOR(S)
Signed statement attached deleting
inventor(s) named in the prior application
(see 37 C.F.R. 1.63(d)(2) and 1.33(b))
6. ☒ Application Data Sheet (37 C.F.R. 1.76)

7. ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8. ☐ Nucleotide and/or Amino Acid Sequence Submission
(If applicable, all necessary)
 - a. ☐ Computer Readable Form (CRF)
 - b. ☐ Specification Sequence Listing on:
 - i. ☐ CD-ROM or CD-R (2 copies); or
 - ii. ☐ paper
 - c. ☐ Statement verifying identify of above copies

ACCOMPANYING APPLICATION PARTS

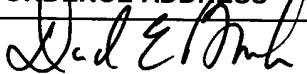
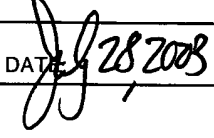
9. ☐ Certification Under 35 U.S.C. 122(b)(2)(B)(i)
10. ☐ Assignment Papers (cover sheet & document(s))
11. ☐ 37 C.F.R. 3.73(b) Submission
12. ☐ Copy of Power of Attorney from prior application
13. ☐ English Translation Document (if applicable)
14. ☐ Information Disclosure Statement
(with Copies of Citations as necessary)
15. ☒ Preliminary Amendment Total Pages **6**
16. ☒ Return Receipt Postcard
(Should be specifically itemized)
17. ☐ Certified Copy of Priority document(s)
(If foreign priority is claimed)
18. ☒ Other: Check No. 961269 in the amount of \$375.00

18. If a **CONTINUING APPLICATION**, check appropriate box and supply the requisite information:

☐ Continuation ☐ Division ☒ Continuation-in-part (CIP) of prior application U.S. patent application
serial no. 09/891,961, filed June 26, 2001, now U.S. Patent 6,599,299.

For continuation or divisional applications: The entire disclosure of the prior application, from which a copy of the oath or declaration is supplied under Box 5b, is considered as being part of the disclosure of the accompanying application and is hereby incorporated by reference.

CORRESPONDENCE ADDRESS

ATTY NAME	David E. Bruhn Reg. No. 36,762	SIGNATURE: 	DATE: 
ADDRESS	DORSEY & WHITNEY LLP Intellectual Property Department Suite 1500 50 South Sixth Street Minneapolis, MN 55402		Customer Number: 25763
TELEPHONE	612-340-6317		
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07/28/03
17648 U.S. PTO

APPLICATION FEE TRANSMITTAL SHEET (FY 2003)

Complete if Known

Application No.	Not Yet Known
Filing Date	Herewith
First Named Inventor	Leonard S. Schultz
Group Art Unit	Not Yet Known
Examiner Name	Not Yet Known
Atty. Docket Number	6971.02

METHOD OF PAYMENT (Check One)

1. ☐ The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:
Deposit Account No.: 04-1420
Deposit Account Name: DORSEY & WHITNEY LLP

- ☒ Charge any additional fee required under 37 C.F.R. 1.16 and 1.17
☒ Applicant claims small entity status (see 37 C.F.R. 1.27)

2. ☒ Check Enclosed

FEE CALCULATION

1. BASIC FILING FEE

Large Entity Fee	Small Entity Fee	Fee Description
160	80	<input type="checkbox"/> Provisional Filing Fee
750	375	<input checked="" type="checkbox"/> Utility Filing Fee
330	165	<input type="checkbox"/> Design Filing Fee
750	375	<input type="checkbox"/> Reissue Filing Fee

Subtotal (1) \$375

2. EXTRA* CLAIM FEES

	Number Claims	Prior	Extra	Fee from Below*	Fee Paid
Total	17	-	20	= 0 x \$9.00	= 0
Indep.	3	-	3	= 0 x \$42.00	= 0
Multiple Dependent Claims				= x	=

Subtotal (2) \$0

***Calculation of Extra Claim Fees**

Large Entity Fee	Small Entity Fee	Fee Description
18	9	Claims in excess of 20
84	42	Independent claims in excess of 3
280	140	Multiple dependent Claim
84	42	Reissue independent claims over original patent
18	9	Reissue claims in excess of 20 and over original patent

FEE CALCULATION (Continued)

3. ADDITIONAL FEES

Large Entity Fee	Small Entity Fee	Fee Description	Fee paid
50	25	Surcharge - late provisional filing fee or cover sheet	
130	65	Surcharge - Late nonprovisional filing fee or oath	
180	180	Submission of IDS	
40	40	Recording each patent assignment per property (times number of properties)	
110	55	Extension for reply within first month	
410	205	Extension for reply within second month	
930	465	Extension for reply within third month	
1,450	725	Extension for reply within fourth month	
1,970	985	Extension for reply within fifth month	
750	375	Submission After Final 1.129	
320	160	Notice of Appeal	
320	160	Filing a brief in support of an appeal	
280	140	Request for oral hearing	
110	55	Terminal Disclaimer Fee	
130	130	Petitions to the Commissioner	
50	50	Petitions related to provisional applications	
1,300	650	Utility/Reissue Issue Fee (including advance copies)	
470	235	Design Issue Fee (inc. advance copies)	
750	375	Request for Continued Examination (RCE)	
300	300	Publication fee for early, voluntary, or normal publication	
300	300	Publication fee for re-publication	
110	55	Petition to Revive - unavoidable	
1,300	650	Petition to Revive - unintentional	


OTHER FEE (specify)

Subtotal (3) \$0

Total Amount of Payment: \$375.00

Submitted by:

CUSTOMER NUMBER 25763	DORSEY & WHITNEY LLP	Intellectual Property Department Suite 1500, 50 South Sixth Street Minneapolis, MN 55402
Name: David E. Bruhn	Phone No.: 612-340-6317	Fax No.: 612-340-8856
Signature: <i>David E. Bruhn</i>	Reg. No.: 36,762	Date: <i>July 28, 2003</i>

CERTIFICATE OF MAILING BY "EXPRESS MAIL" (37 CFR 1.10)			Docket No.
Applicant(s): Dr. Leonard L. Schultz			6971.02
Serial No. Not Yet Known	Filing Date Herewith	Examiner Not Yet Known	Group Art Unit Not Yet Known
Invention: DEVICE AND METHOD FOR BODY LUMEN OCCLUSION			
I hereby certify that the following correspondence:			
<div>Appln Trans (1); Fee Trans (1); Appln Data Sheet (2); Prelim Amend (6); Spec w/Cover Sheet (21); Frml Drwgs, FIGS. 1A, 1B, 2-4 (5); Check No. 961269; Rcpt Pstcrd</div>			
(Identify type of correspondence)			
is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on			
<div>28 July 2003</div> <div>(Date)</div>			
<div>Kim Anderson</div> <div>(Typed or Printed Name of Person Mailing Correspondence)</div>			
<div></div> <div>(Signature of Person Mailing Correspondence)</div>			
<div>EV 324256644 US</div> <div>("Express Mail" Mailing Label Number)</div>			
Note: Each paper must have its own certificate of mailing.			